

Guidelines are
available at
www.ims.gov



2004 NATIVE HAWAIIAN LIBRARY SERVICES

*Grant Application
and Guidelines*

INSTITUTE
of MUSEUM
and LIBRARY
SERVICES

Application Deadline:

May 17

For information, call

IMLS: (202) 606-5227

Native Hawaiian Library Services

GRANT APPLICATION AND INFORMATION

FISCAL YEAR 2004

WHAT IS IMLS?

The Institute of Museum and Library Services is an independent Federal grant-making agency dedicated to creating and sustaining a nation of learners. The Institute fosters leadership, innovation, and a lifetime of learning by supporting the nation's 15,000 museums and 122,000 libraries. The Institute also encourages partnerships to expand the educational benefit of libraries and museums. Created by the Museum and Library Services Act of 1996, P.L. 104-208, IMLS administers the Library Services and Technology Act and the Museum Services Act. In 2003, Congress reauthorized the Museum and Library Services Act, P.L. 108-81, reaffirming the vital role that museums and libraries play in our communities. The Institute receives policy advice from the Presidentially appointed, Senate confirmed National Museum and Library Services Board.

FOR MORE INFORMATION CALL OR WRITE:

Institute of Museum and Library Services
1100 Pennsylvania Avenue, NW
Washington, DC 20506
(202) 606-5227

E-mail: imlsinfo@imls.gov
Web site: <http://www.imls.gov/>
TTY (for hearing-impaired people): (202) 606-8636

Visually or learning disabled people may obtain assistance in acquiring a cassette recording of this or any other IMLS grant information and guidelines booklet by contacting IMLS.

BURDEN ESTIMATE AND REQUEST FOR PUBLIC COMMENTS

The time required to complete this information collection is estimated to average ten hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the information collection. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Institute of Museum and Library Services, 1100 Pennsylvania Avenue, NW, Room 510, Washington DC 20506; and to the Office of Management and Budget, Paperwork Reduction Project (3137-0001), Washington, DC 20503.

CFDA NO. 45.311

EQUAL OPPORTUNITY STATEMENT

IMLS programs do not discriminate on the basis of race, color, national origin, sex, disability, or age. For further information, write to the Civil Rights Officer, Institute of Museum and Library Services, 1100 Pennsylvania Avenue, N.W., Washington, D.C. 20506.



INSTITUTE
of MUSEUM
and LIBRARY
SERVICES

Dear Colleague:

It is a pleasure to present the guidelines for the FY 2004 Institute of Museum and Library Services Native Hawaiian Library Services grant. This booklet contains the application forms and instructions needed to prepare and submit an application.

The Museum and Library Services Act provides funding for libraries to bring information to people in new and interesting ways. The Act is designed to ensure that library service is accessible to all and that libraries can make maximum use of technology to improve their services. IMLS grants will help libraries bring people the information they want and need in the most effective ways possible.

Grant funds may be used to promote electronic linkages and electronic networks; to enable libraries to establish consortia and share resources; including computer systems and telecommunications technologies; and to improve services to persons having difficulty using a library and other underserved populations.

We believe that library services to Native Hawaiians will be enhanced by this opportunity for federal funding. We welcome comments from the library community as well as from the user communities who are the beneficiaries of these services.

Sincerely,

Robert S. Martin, Ph.D.
Director

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GUIDELINES

Eligibility

Native Hawaiian Library Services grants are available to nonprofit organizations that primarily serve and represent Native Hawaiians (as the term is defined in section 7207 of the Native Hawaiian Education Act). The term “Native Hawaiian” means an individual who is a citizen of the United States and a descendant of the aboriginal people who, prior to 1778, occupied and exercised sovereignty in the area that now comprises the State of Hawaii.

Purpose of Program

Native Hawaiian Library Services grants support library services to the Native Hawaiian community to enhance existing library services or to implement new library services particularly as they relate to:

- establishing or enhancing electronic linkages among or between libraries;
- electronically linking libraries with educational, social, or information services;
- assisting libraries in accessing information through electronic networks;
- encouraging libraries in different areas and encouraging different types of libraries to establish consortia and share resources;
- paying costs for libraries to acquire or share computer systems and telecommunications technologies; and
- targeting library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children (from birth through age 17) from families with incomes below the poverty line.

Three-Year Plan

An applicant is expected to submit with the application a three-year plan for library services including projected interactions with other community organizations and schools. A three-year plan includes identifying community needs and outlining goals/objectives and activities responding to those needs. The plan should include a description of an evaluation process to demonstrate progress toward goals/objectives. The library board or other appropriate governing body must approve the plan. The plan submitted in 2004 would be for the years 2005 to 2007. For an example of how to develop the components of a plan, go to the IMLS web site (www.imls.gov), select Apply for Grants and Awards, select Library Services, and select Native Hawaiian Library Services, Application and Guidelines.

How Grants Are Made

If more than one application is received, applications will be evaluated by individual field review and/or panel review. Reviewers will have expertise in the types of activities identified in the proposed projects. Reviewers will be drawn from professionals in the field and from areas of expertise as determined by the Director. The Director will make funding decisions based on the evaluations by reviewers and the overall goals of the Native Hawaiian Library Services program.

Data Universal Numbering System (DUNS Number)

BACKGROUND

In order to streamline and simplify the management of federal financial assistance, the Office of Management and Budget (OMB) has directed that all federal agencies require applicants to provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number when applying for federal grants or cooperative agreements on or after October 1, 2003. The DUNS number will be required whether an applicant is submitting a paper application or an electronic application. To read the OMB rule, access: <http://a257.g.akamaitech.net/7/257/2422/14mar20010800/edocket.access.gpo.gov/2003/pdf/03-16356.pdf>

The DUNS number requirement applies to all types of entities applying for federal grants or cooperative agreements under discretionary and mandatory grant programs or activities. Every application for a new award or renewal of an award submitted on or after October 1, 2003 must include a DUNS number for the applicant. Unless an exemption from OMB is granted, an application will not be considered complete until a valid DUNS number is provided by the applicant.

For purposes of this policy, the applicant is the entity that meets IMLS's eligibility criteria and has the legal authority to apply.

WHAT YOU NEED TO DO

Organizations can receive a DUNS number at no cost by calling the dedicated toll-free DUNS Number request line at 1-866-705-5711 or by visiting <http://www.dnb.com/us/>.

If your organization does not have a DUNS number, you should take steps to obtain a DUNS number in advance of the application deadline. If your organization does not have a DUNS number, you may not be able to apply for federal grants or cooperative agreements.

Application Elements and Evaluation Criteria

Reviewers will be instructed to evaluate proposed projects according to the criteria identified in these guidelines. Applicants should address all criteria in the application narrative.

You must address all of the evaluation criteria and in the same order in which they are listed below. Each criterion should be used as a heading and followed by a comprehensive description. Since reviewers base their evaluations only on the information presented in your application, it is important that you prepare a clear, concise, well organized document. The first seven criteria listed should be addressed in the application narrative. The eighth criterion, the budget, should be addressed in a separate section.

APPLICATION NARRATIVE

STATEMENT OF NEED

Include a statement of need as it relates to library services and the community. Include information such as:

- a description of the community,
- current status of library services,
- how the proposal will improve library services, and
- impact on the community from improved library services.

PROJECT DESIGN

Include a description of the proposed project plan. Include information such as:

- clear goals/objectives,
- approach for accomplishing project objectives,
- action steps and activities to implement the project,
- appropriate application of technology including strategies to service, maintain and upgrade proposed hardware and software,
- coordination of activities with the State Library Agency,
- how this project is of sufficient scope to create positive change in library services, and
- plan to maintain and continue the positive changes after the period of Federal funding.

MANAGEMENT PLAN

Describe the management plan demonstrating the strategy for completing a successful project. Include information such as:

- how oversight will be provided for the various action steps and activities,
- evidence that applicant is capable of implementing the project plan,
- evidence that applicant is capable of successfully completing the project by deploying the appropriate personnel, facilities, equipment and supplies, and
- experience with sound financial planning and management.

PERSONNEL

Identify the management staff and library staff who will implement this project. Include information such as:

- qualifications to accomplish the project goals/objectives,
- experience and expertise in the specific areas to which they will be assigned for this project, and
- adequate time commitment for the successful completion of the project.

Note: You must attach resumes for all people who will serve on this project. Maximum length of resumes: two pages per person. For new positions to be paid from grant funds, include a position description. You do not need to identify persons to be hired for new positions.

EVALUATION

Describe the approach and methodology to be used for monitoring and assessing the activities of the project. Include information such as:

- baseline data to judge how much was achieved,
- evidence of ongoing and comprehensive evaluation to assess progress,
- measurement of outcomes for each objective, impact of changes, success and possible improvement areas for the future,
- measurement of community satisfaction with new or improved services, and
- plan for documenting final results - both expected and unexpected.

MODEL PROJECT

Describe how this project will serve as a model for other libraries serving underserved communities and how information about this project will be shared within the library community. Include information such as:

- improvement of service to the community and library users,
- documentation of project results, and
- broad dissemination of project results (including technical knowledge gained during project) using a variety of appropriate media.

CONTRIBUTIONS

Describe the commitment to the project by contributions to the project costs in the form of cost sharing. All contributions should be included in the budget narrative, the detailed budget forms, and the summary budget form. See information on cost sharing on page 1.8. Include information on:

- cash match and
- in-kind contributions.

BUDGET SECTION

THREE-PART BUDGET

Demonstrate that the budget is appropriate, cost efficient, and reflects the goals and activities of the proposal. The proposal must include a three-part budget: 1) budget narrative; 2) detailed budget table; and 3) summary budget table. The budget should include costs to be supported by IMLS funds, applicant and third-party matching and cost sharing, and any costs to be supported by other Federal agencies. Only those costs necessary to achieving specific project objectives should be included in the budget. Cost sharing is not required but it is considered a demonstration of commitment to the project on the part of the applicant. Other Federal funds may not be counted as cost sharing or matching funds.

Applicants who receive awards must attend an annual grantee meeting. As part of your travel budget, include \$2500 per year for attendance at the grantees meeting. The \$2500 per year should come from IMLS funds.

The budget narrative justifies all budget costs. It should explain all line items on the detailed budget forms and should include the amount requested for each line item listed on the detailed budget forms. List the amount requested from IMLS and the amount of any cost sharing for each category. The budget narrative should clearly and specifically identify the sources of cost sharing contributions. The budget narrative should include a justification for all proposed costs including personnel costs, equipment, materials, supplies, services and other expenses. The applicant should provide specifications for hardware and software requested in the budget. The applicant should provide some documentation, such as vendor pricing information, to support costs of equipment and hardware. Explain how the items in the budget are reasonable, necessary to accomplish project objectives and cost effective.

A detailed budget should be prepared. It should include specific cost categories and identify whether support is requested from IMLS or is part of cost sharing. On the detailed budget sheet, the “No.” refers to the number of staff. The “method of computation” refers to how the cost is determined. For example, if a staff member will devote part of his/her time to the project, the total amount charged to the project could be determined either by number of hours multiplied by the hourly wage or by percentage of staff time multiplied by the yearly salary. Consultant fees should identify costs by hourly rates or daily fees.

The summary budget should clearly identify the amounts requested from IMLS and the amounts contributed by the applicant.

INDIRECT COSTS

Indirect costs are project costs that an institution incurs that cannot be easily assigned to an individual project. They are also called “overhead” or “administrative costs.” Examples of indirect-cost type items are charges for utilities, insurance, use of office space and equipment owned by the applicant, local telephone service, and the salaries of the management and administrative personnel of the institution.

Institutions that do not have a federally negotiated indirect cost rate and do not wish to negotiate one may charge an administrative fee to the project of up to 15 percent. If an applicant chooses this option, it must be careful to exclude all indirect-cost type items from the budget and the fee may not be applied to distorting costs such as equipment purchases or subcontracts over \$5,000. (Applicants that choose this option should understand that they must maintain documentation to support overhead charges claimed as part of project costs.) IMLS will pay this administrative fee only on that portion of direct project costs that are supported by IMLS funds. This administrative fee of 15% may also be applied to the project costs that will be supported by the applicant and may therefore be counted as part of the applicant’s match.

If an institution has a federally negotiated indirect cost rate that will be current at the time an award is made, this rate may be used to determine total project costs, as long as the rate is applied in accordance with the negotiated agreement and a copy of the negotiation is forwarded to IMLS with the application. However, IMLS will pay indirect costs only on the portion of the direct costs that are supported by IMLS funds. Indirect costs that are related to the direct project costs that will be cost shared by the applicant may be included in the budget only as a part of the applicant’s cost share. IMLS will not accept an indirect cost rate that is scheduled to expire before the award is issued.

An institution that is in the process of negotiating an indirect cost rate with a Federal agency may apply the proposed rate to estimate total project costs as long as it follows the instructions in the previous paragraph in applying the rate and includes the indirect cost proposal in the application material. IMLS will not pay any indirect costs until a rate is negotiated and a copy of the final agreement is submitted to the IMLS Office of Grants Administration. If the award is issued before an indirect cost rate is negotiated, the amount of the award will be determined in part by the indirect cost rate that is used in the application budget, which will be considered a fixed rate for the duration of the grant unless the negotiated rate is lower. If this is the case, IMLS reserves the right to reduce the amount of the award accordingly.

COST SHARING

All cost sharing expenses must be incurred during the grant period, not before or after. In-kind contributions may be used for cost sharing if they specifically relate to the grant project. For third party contributions, applicants must indicate whether the contributions are assured or pending. Your cost sharing may consist of:

- cash contributions – funds allocated directly to the project (i.e. cash match)
- earned income
- equipment
- staff time
- materials and supplies
- services

You may not use Federal funds as part of your cost sharing. This limitation also applies to salaries, equipment, services, etc. funded by Federal dollars.

Indirect costs may be used as cost sharing. Indirect costs, often referred to as overhead costs, are not attributable to a specific project or activity of an organization.

Use of Funds

Native Hawaiian Library Services grant funds may be used only for the costs of the project such as costs for salaries for library personnel, library materials (including books, journals, electronic resources and equipment), library project supplies, telecommunication services and equipment, and fees for participation in networks and consortia that provide the library with direct services. No more than 15% of the granted funds may be used for indirect costs, unless the applicant has a current, Federally negotiated indirect cost rate.

Limits on Use of Funds

Grant funds may not be used for construction, contributions to endowment funds, social activities, ceremonies, entertainment, or pre-grant costs. All listed expenses, including all cost sharing, must be incurred during the grant period. Government-wide cost principles apply.

Grant Period

Funds must be expended within the one-year grant period. The grant period begins October 1, 2004 and ends no later than September 30, 2005. A one-time no-cost extension to the grant period may be requested from the Associate Deputy Director for Library Services. A request for an extension must be made in writing no later than 10 days before the end of the grant period.

Amount of Grant

The total amount available for the Native Hawaiian Library Services Grant Program is \$479,947. More than one grant may be awarded. Applicants may be granted an amount less than that requested. Grants will be made in September 2004 from FY 2004 funds.

Maintenance of Effort

Any organization receiving a Native Hawaiian Library Services Grant must expend the same amount for library services, exclusive of the grant amount, during the grant period that was expended in the 12-month period immediately preceding the grant period.

Copyright/Work Products

IMLS requires acknowledgement of IMLS assistance in all publications and other products resulting from the project. Products should be distributed free or at cost unless the recipient has received written approval for another arrangement. The recipient may copyright, with written permission, any work that is subject to copyright and was developed, or for which ownership was purchased, under an award. IMLS reserves, for Federal government purposes, a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, or otherwise use the work and authorize others to reproduce, publish, or otherwise use the work. IMLS requires that awardees provide three copies of any products produced with IMLS funds to IMLS with the final reports. Generally, a Beta version of software developed on an IMLS funded project must be provided to IMLS as a product of the grant. Consult with IMLS regarding software development projects.

Notification of Grant

No information about the status of an application will be released until all applications have been reviewed and all negotiations are concluded. IMLS will notify applicants of final decisions in September 2004.

Payment, Accounting, and Reporting Procedures

A Federal accounting office handles the payment of Native Hawaiian Library Services Grants. Grant recipients may request cash advances or reimbursements as needed during the project period. Payments are made electronically.

IMLS requires grant recipients to maintain a restricted account for funds received during the grant period. They do not need to maintain a separate bank account for IMLS funds; however, they must establish and maintain a separate accounting category within an internal accounting system to show that IMLS funds have been used for grant costs only. This restricted accounting record must be adequate to satisfy normal auditing procedures. Grants are subject to the provisions of Office of Management and Budget audit requirements.

Grant recipients will be required to submit a six-month interim performance report; they are required to submit a final performance report and a final financial report. Interim reports must be submitted within 30 days of the end of each six-month period. Final performance and financial reports must be submitted within 90 days of the close of the grant period. IMLS will provide reporting instructions.

Guidance for Digitization Projects

INFORMATION TO INCLUDE IN PROPOSAL

In the proposal narrative, describe the subject matter and its significance, including relationships to related collections. Explain how the material was or will be selected for digitization. Describe the additional value that digitization will bring to the materials, such as enabling innovative new uses or attracting new audiences. Describe how potential users will discover the collection. The application also includes a form, *Specifications for Projects Involving Digitization* (see p. 2.9), which must be completed and submitted with the application. Funded digitization projects are expected to report their projects to a national level registry of digital resources and/or national bibliographic utility, as appropriate. IMLS will provide information on other reporting requirements as appropriate.

DIGITIZATION PLANS

Digitization projects should follow existing standards and best practices where applicable and should be interoperable with other collections.

RESOURCES FOR DIGITIZATION PROJECTS

Applicants for digitization projects are strongly encouraged to develop a digitization plan before writing the grant application, and to include a copy of the plan as an appendix to the application. Sample digitization plans are provided on the following web sites:

- <http://www.cdpheritage.org> – The Colorado Digitization Program.
- <http://www.nedcc.org/digital/dighome.htm> – The Northeast Document Conservation Center's *Handbook for Digital Projects: A Management Tool for Preservation and Access*.

IMLS has published *A Framework of Guidance for Building Good Digital Collections* as a resource for applicants planning digitization projects. Available at <http://www.imls.gov/pubs/forumframework.htm>, this document contains links to many web sites with useful information for planning and implementing digitization projects. The University of Illinois at Urbana Champaign is creating a registry and metadata repository of collections digitized with IMLS funding. See the site at <http://imlsdcc.grainger.uiuc.edu>. The IMLS web site provides examples of funded digitization projects at http://www.imls.gov/closer/cls_po.asp. The list of resources below is to assist you in learning more about digitization projects and is neither exhaustive nor an endorsement of any particular resource:

- <http://memory.loc.gov/ammem/ftpfiles.html> – The Library of Congress' American Memory Project has useful technical information for digitization projects.
- <http://www.cdpheritage.org/resource/index.html> – The Colorado Digitization Program's web site has a site devoted to Digitization Resources that includes information about copyright, metadata, digitization standards and administrative concerns.
- <http://www.clir.org/diglib/publications.htm> – The Digital Library Federation has publications on a range of topics, including digital image management and preservation.
- <http://www.rlg.org/preserv/diginews/> – The Research Libraries Group's *DigiNews*, a bimonthly web-based newsletter.
- <http://www.umuc.edu/distance/odell/cip> – Center for Intellectual Property and Copyright in the Digital Environment by the Office of Distance Education and Lifelong Learning at University of Maryland University College
- <http://www.copyright.iupui.edu> – Copyright Management Center (CMC) Indiana University-Purdue University Indianapolis
- <http://www.dlib.org> – D-Lib Magazine has many articles on preservation of digital materials.
- <http://www.w3.org/WAI/> – The World Wide Web Consortium's guidance and resources on web accessibility for people with disabilities.
- http://www.chin.gc.ca/English/Digital_Content/index.html – The Canadian Heritage Information Network has information on creating and managing digital content.

Preparing the Application Package

An application requesting a grant through the Native Hawaiian Library Services program of the IMLS must include the following materials organized in the order listed:

1. Face Sheet
2. Abstract
3. Narrative (includes all evaluation criteria except “Budget”)
4. Schedule of Completion
5. Budget
 - a. Budget narrative
 - b. Detailed budget forms
 - c. Summary budget form
 - d. Current Federally negotiated rate agreement for indirect costs, if applicable
6. Specifications for Projects Involving Digitization, if applicable
7. Proof of Not-for-Profit Status
8. Proof of Eligibility
9. Signed Assurances Form (four pages)
10. Attachments
 - For example:
 - a. Resumes of all staff involved in project (no more than two pages each)
 - b. Position descriptions for new positions for which IMLS funding is requested
 - c. Needs assessment
 - d. Three-year plan

The applicant must submit one original [with original signature(s) of authorizing official(s)] and six copies of the entire application, plus two additional copies of the face sheet. Do not place the original or copies in binders or notebooks.

Applicants are requested to send an electronic copy of the information on the face sheet and the abstract on a 3.5 inch disk, formatted as a text file (.txt) or rich text file (.rtf). You do not need to replicate the format of the face sheet.

Use a typeface that contains no more than six lines per vertical inch. Use a typeface with standard spacing between letters; do not use a condensed typeface. Leave a margin of at least 1/2 inch on all sides. Number all pages. It is essential that reviewers can easily read the information you provide.

No submitted application materials will be returned.

Components of the Application

FACE SHEET

The face sheet is provided as page 2.3 of the Application Materials. Use or replicate this form.

ABSTRACT

An abstract of no more than one page, single spaced (600 word maximum) should describe the primary goals of the proposed activities and present an overview of the design of the project to achieve those goals. Describe anticipated results/outcomes.

NARRATIVE

A narrative of no more than 10 single-spaced, one-sided pages should address the evaluation criteria listed on pages 1.5–1.6. Do not exceed the 10 page limit. Use 8 1/2 x 11 inch paper. Your narrative should include sections on: statement of need, project design, management plan, personnel, evaluation, model project, and contributions. The narrative should provide a comprehensive description for each of the criterion and they should appear in the order listed. Make it clear to reviewers why you are proposing the project, what the project entails, how the activities will be accomplished, who will be involved, when the activities will take place, and how the project will be managed, evaluated and sustained.

If your project involves materials currently under copyright, you should indicate what has been done to secure the necessary permission to copy or to publish the materials.

SCHEDULE OF COMPLETION

A schedule of completion should show when each major activity will occur and its duration. Benchmarks for progress of the project should be identified. The schedule of completion should correspond to the activities described in the narrative. A sample schedule of completion is provided with the application package on page 2.11.

BUDGET

Include all three required sections: 1) budget narrative; 2) detailed budget; and 3) summary budget. See pages 1.6–1.8 for instructions. Include a copy of your current Federally negotiated rate agreement for indirect costs, if applicable.

SPECIFICATIONS FOR PROJECTS INVOLVING DIGITIZATION

Complete and submit the form on pages 2.9 and 2.10 if you are submitting a proposal that involves digitization. This form is required if the proposal includes a digitization component.

PROOF OF NOT-FOR- PROFIT STATUS

The applicant and any partners must submit proof of not-for-profit status which may be either:

- A copy of the IRS letter indicating the organization's eligibility for not-for-profit status under the applicable provisions of the Internal Revenue Code of 1954, as amended; or
- An official document identifying the organization as a unit of state or local government or other tax exempt multipurpose organization. If prepared specifically for this application, the certification must be on the parent organizations' letterhead and certified by an official of the parent organization.

Note: IMLS will not accept a letter of sales tax exemption as proof of nonprofit status.

**PROOF OF
ELIGIBILITY**

Applicants should submit evidence that they are nonprofit organizations that primarily serve and represent Native Hawaiians (as defined in section 7207 of the Native Hawaiian Education Act).

**SIGNED
ASSURANCES
FORM**

To be considered for a grant, the official applicant's Authorizing Official must read the assurances and sign the accompanying certification statement. The Authorizing Official may be the organization's chief executive officer or an executive member of the organization's governing body. The application is not complete unless it has been signed by the Authorizing Official. Submit the complete four-page form, not just the signed page.

ATTACHMENTS

Resumes or vitae of no more than two pages each for all key personnel (both staff and consultants) must be included. For new positions for which IMLS funding is requested, include position descriptions. Include a copy of the library's three-year plan. Also, applicants should include documents that specifically relate to the justification for the project. Information may include needs assessments, reports from planning activities, products or evaluations from previously completed or ongoing projects of a similar nature or other documents for the evaluation of the proposal.

Sending the Application to IMLS

Send or hand-deliver applications to:

**Office of Library Services, Room 802
Institute of Museum and Library Services
1100 Pennsylvania Avenue NW
Washington, DC 20506**

Within 10 business days after the deadline, IMLS will mail applicants an acknowledgment form with an application log number. If this form is not received, contact IMLS to make sure the application was received.

**HAND
DELIVERY**

IMLS accepts hand-delivered applications between 9:00 a.m. and 4:30 p.m. (Eastern Time) daily, except Saturday, Sunday and Federal holidays. IMLS will provide a dated receipt at the time of delivery.

**MAIL
DELIVERY**

Mailed applications must be postmarked no later than the application deadline:
May 17, 2004

All of the first-class and Priority mail sent to IMLS is put through an irradiation process, which results in lengthy delays in mail delivery. Please consider using commercial delivery services. Due to the length and number of copies required for complete submission, applications cannot be accepted by fax or e-mail.

Please be advised that support materials (e.g. CDs, videos, slides) put through the irradiation process are suffering irrevocable damage. If you are sending these kinds of materials, we encourage you to consider using alternate delivery services.

Every attempt is being made to accommodate late arriving mail. We appreciate your patience. If you do not receive an acknowledgment of receipt of application within 15 business days of the deadline, please call IMLS to confirm receipt.

**PROOF OF
MAILING**

IMLS may ask for proof of mailing if the postmark date on the package cannot be read. The U.S. Postal Service does not always postmark a package when it receives one. Ask to have the package dated, then verify that it is properly date stamped. IMLS will accept a legible receipt stamped by the U.S. Postal Service or a legible dated shipping label, invoice, or receipt from a commercial carrier. IMLS will not accept private metered postmarks or private mail receipts unless they contain a legible date stamped by the U.S. Postal Service. The green return receipt card does not meet the IMLS requirement for proof of mailing.

Applications that do not meet the postmark deadline will be rejected without review.

**APPLICATION
FORM**

Face Sheet

1. Applicant Organization

2. Applicant's Mailing Address

3. City

4. State

5. Zip Code

6. DUNS Number

7. Name and Title of Authorizing Official

8. Business Phone of Authorizing Official

9. Name of Project Director

10. Business Phone of Project Director

11. FAX Number of Project Director (if applicable)

12. e-mail address of Project Director (if applicable)

13. Name of Sponsoring Organization/Parent Organization (if applicable)

14. Institutional Profile

Use the space provided or attach a separate sheet to provide an organizational profile of no more than one page that identifies the organization's mission, service area and levels of service, placement within a parent organization (if applicable) and where within the organization the responsibility for the management of the proposed project activities would be assigned.

15. Identify which of the following activities will be supported with IMLS funds:
(please check all appropriate boxes)

- ☐ establishing or enhancing electronic linkages among or between libraries;
- ☐ electronically linking libraries with educational, social, or information services;
- ☐ assisting libraries in accessing information through electronic networks;
- ☐ encouraging libraries in different areas, and encouraging different types of libraries, to establish consortia and share resources;
- ☐ paying costs for libraries to acquire or share computer systems and telecommunications technologies; and
- ☐ targeting library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children (from birth through age 17) from families with incomes below the poverty line.

16. Grant Period (Starting Date) / / — / / (Ending Date)

Project Budget Form

SECTION 1: DETAILED BUDGET

Name of Applicant _____

IMPORTANT! READ INSTRUCTIONS ON PAGE 1.6–1.8 BEFORE PROCEEDING.

SALARIES AND WAGES (PERMANENT STAFF)

NAME/TITLE	No.	METHOD OF COST COMPUTATION	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	()	_____	_____	_____	_____	_____
_____	()	_____	_____	_____	_____	_____
_____	()	_____	_____	_____	_____	_____
_____	()	_____	_____	_____	_____	_____
TOTAL SALARIES AND WAGES \$			_____	_____	_____	_____

SALARIES AND WAGES (TEMPORARY STAFF HIRED FOR PROJECT)

NAME/TITLE	No.	METHOD OF COST COMPUTATION	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	()	_____	_____	_____	_____	_____
_____	()	_____	_____	_____	_____	_____
_____	()	_____	_____	_____	_____	_____
_____	()	_____	_____	_____	_____	_____
TOTAL SALARIES AND WAGES \$			_____	_____	_____	_____

FRINGE BENEFITS

RATE		SALARY BASE	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	% of \$	_____	_____	_____	_____	_____
_____	% of \$	_____	_____	_____	_____	_____
_____	% of \$	_____	_____	_____	_____	_____
TOTAL FRINGE BENEFITS \$			_____	_____	_____	_____

CONSULTANT FEES

NAME/TYPE OF CONSULTANT	RATE OF COMPENSATION (DAILY OR HOURLY)	NO. OF DAYS (OR HOURS) ON PROJECT	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____	_____
TOTAL CONSULTANT FEES \$			_____	_____	_____	_____

TRAVEL

FROM/TO	NUMBER OF: PERSONS DAYS	SUBSISTENCE COSTS	TRANSPORTATION COSTS	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	() ()	_____	_____	_____	_____	_____	_____
_____	() ()	_____	_____	_____	_____	_____	_____
_____	() ()	_____	_____	_____	_____	_____	_____
_____	() ()	_____	_____	_____	_____	_____	_____
TOTAL TRAVEL COSTS \$				_____	_____	_____	_____

Project Budget Form

SECTION 1 CONTINUED

MATERIALS, SUPPLIES AND EQUIPMENT

ITEM	METHOD OF COST COMPUTATION	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
TOTAL COST OF MATERIALS, SUPPLIES, & EQUIPMENT \$		_____	_____	_____	_____

SERVICES

ITEM	METHOD OF COST COMPUTATION	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
TOTAL SERVICES COSTS \$		_____	_____	_____	_____

OTHER

ITEM	METHOD OF COST COMPUTATION	IMLS	APPLICANT	PARTNER(S) (IF APPLICABLE)	TOTAL
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
TOTAL OTHER COSTS \$		_____	_____	_____	_____

TOTAL DIRECT PROJECT COSTS \$	_____	_____	_____	_____
--------------------------------------	-------	-------	-------	-------

INDIRECT COSTS

Check either item A or B and complete C. (See section on Indirect Costs, pages 1.7–1.8.)

Applicant organization is using:

- ☐ A. an indirect cost rate that does not exceed 15% of modified direct costs.
☐ B. federally negotiated indirect cost rate (see pages 1.7–1.8).

Name of Federal Agency

Expiration Date of Agreement

C.	Rate base(s)	Modified Direct Costs		
_____	% of \$ _____	= \$ _____		
_____	% of \$ _____	= \$ _____		
_____	% of \$ _____	= \$ _____		

	IMLS	APPLICANT	PARTNER(S) IF APPLICABLE	TOTAL
TOTAL INDIRECT COSTS CHARGED TO \$	_____	_____	_____	_____

Project Budget Form

SECTION 2: SUMMARY BUDGET

Name of Applicant _____

IMPORTANT! READ INSTRUCTIONS BEFORE PROCEEDING.

DIRECT COSTS

	IMLS	Applicant	Partner(s) (if applicable)	Total
SALARIES & WAGES	_____	_____	_____	_____
FRINGE BENEFITS	_____	_____	_____	_____
CONSULTANT FEES	_____	_____	_____	_____
TRAVEL	_____	_____	_____	_____
MATERIALS, SUPPLIES & EQUIPMENT	_____	_____	_____	_____
SERVICES	_____	_____	_____	_____
OTHER	_____	_____	_____	_____

TOTAL DIRECT COSTS \$ _____ \$ _____ \$ _____ \$ _____

INDIRECT COSTS * \$ _____ \$ _____ \$ _____ \$ _____

*You may request indirect costs from IMLS only
on the direct project costs requested from IMLS

TOTAL PROJECT COSTS \$ _____

AMOUNT OF CASH-MATCH \$ _____ \$ _____

AMOUNT OF IN-KIND CONTRIBUTIONS \$ _____ \$ _____
 (INSTITUTIONAL COST-SHARING), INCLUDING INDIRECT COSTS

TOTAL AMOUNT OF MATCH (CASH & IN-KIND CONTRIBUTIONS) \$ _____

AMOUNT REQUESTED FROM IMLS, INCLUDING INDIRECT COSTS \$ _____

Have you received or requested funds for any of these project activities from another federal agency?
 (Please check one) ☐ Yes ☐ No

If yes, name of agency _____

Date of application _____ or award _____ Amount requested or received \$ _____

Specifications for Projects Involving Digitization

1. Describe types of materials to be digitized (i.e., artifacts, maps, manuscripts, photographs, audio recordings, video recordings, motion pictures) and number of each:

2. Identify copyright issues and other potential restrictions:

☐ Public Domain ____% of total ☐ Permissions have been obtained ____% of total

☐ Permissions to be requested ____% of total – Plan to address: _____

☐ Privacy Concerns ____% of total – Plan to address: _____

☐ Other - Explain: _____

3. List the equipment, with specifications, whether purchased, leased, or outsourced, that will be used (e.g., camera, scanner, server): _____

4. Specify each type of file format (e.g., TIFF, JPEG) to be produced and anticipated image quality of each (minimum resolution, depth, tone, pixels) :

☐ Master _____

☐ Access _____

☐ Thumbnail _____

☐ Formats for other media (e.g., audio, video, motion picture), include sampling rates, if applicable _____

5. Describe 1) the delivery medium that will be used and 2) the digital access management system or systems that will be used to make this material available to others. _____

6. Describe the quality control plan: _____

7. Estimate cost per image. Include costs such as scanning, quality control and indexing. Indicate the basis for calculation: _____

8. Explain how content will be discovered through metadata, including which standards you will use (e.g., MARC, EAD, Dublin Core): _____

9. Describe plans for preservation and maintenance of the digital files during and after the expiration of the grant period (i.e., storage systems, migration plans, and funding): _____

10. If you are producing collection-level records, describe plans for submitting collection-level descriptive records to a bibliographic utility, such as Research Libraries Information Network (RLIN) or Online Computer Library Center (OCLC): _____

11. Describe plans for submitting information about the project to a national level registry of digital resources, such as the Association of Research Libraries' Digital Initiatives Database (<http://www.arl.org/did/>) or OCLC's Cooperative Online Resource Catalog (<http://www.oclc.org/corc/>): _____

12. Provide URL(s) for applicant's previously-digitized collections: _____

This page is a sample format for a schedule of completion. Prepare yours in a similar manner, listing each major project activity discussed in narrative.

	Oct.	Nov.	Dec.	Jan.	Feb.	Mar.	Apr.	May	June	July	Aug.	Sept.
Activity 1												
Activity 2												
Activity 3												
Activity 4												
Activity 5												
Activity 6												
Activity 7												
Activity 8												
Activity 9												
Activity 10												
Activity 11												

IMLS Assurances

The IMLS is required to obtain from all applicants certifications regarding federal debt status, debarment and suspension, non-discrimination, and a drug-free workplace. Applicants requesting more than \$100,000 in grant funds must also certify regarding lobbying activities and may be required to submit a "Disclosure of Lobbying Activities" (Standard Form LLL). Some applicants will be required to certify that they will comply with other federal statutes that pertain to their particular situation. These requirements are incorporated in the assurances statement below. Review the Statement and sign the certificate at the end. If you receive a grant, you must comply with these requirements.

ASSURANCES STATEMENT

By signing the application form, the authorizing official, on behalf of the applicant, assures and certifies that, should a grant be awarded, the applicant will comply with the statutes outlined below and all related IMLS regulations. These assurances are given in connection with any and all financial assistance from the Institute of Museum and Library Services after the date this form is signed, but may include payments after this date for financial assistance approved prior to this date. These assurances shall obligate the applicant for the period during which the Federal financial assistance is extended. The applicant recognizes and agrees that any such assistance will be extended in reliance on the representations and agreements made in these assurances, and that the United States government has the right to seek judicial enforcement of these assurances, which are binding on the applicant, its successors, transferees, and assignees, and on the authorized official whose signature appears on the application form.

I. CERTIFICATIONS REQUIRED OF ALL APPLICANTS

FINANCIAL, ADMINISTRATIVE, AND LEGAL ACCOUNTABILITY

The undersigned, on behalf of the applicant, certifies that the applicant has legal authority to apply for Federal assistance and the institution, managerial, and financial capability (including funds sufficient to pay the non-Federal share of project costs) to ensure proper planning, management, and completion of the project described in this application.

FEDERAL DEBT STATUS

The undersigned, on behalf of the applicant, certifies to the best of his or her knowledge and belief that the applicant is not delinquent in the repayment of any federal debt.

DEBARMENT AND SUSPENSION

The undersigned, on behalf of the applicant, certifies to the best of his or her knowledge and belief that neither the applicant, nor its principals:

- A. are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency;
- B. have within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction, or in connection with a violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;
- C. are presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and

- D. have within a three-year period preceding this application/proposal had one or more public transactions (federal, state or local) terminated for cause or default.

**NON-
DISCRIMINATION**

The undersigned, on behalf of the applicant, certifies that the applicant will comply with the following nondiscrimination statutes and their implementing regulations:

- (a) Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000 *et seq.*), which provides that no person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or otherwise be subject to discrimination under any program or activity receiving Federal financial assistance;
- (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 *et seq.*), which prohibits discrimination on the basis of disability in Federally-assisted programs;
- (c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-83, 1685-86), which prohibits discrimination on the basis of sex in education programs and activities receiving Federal financial assistance;
- (d) the Age Discrimination in Employment Act of 1975, as amended (42 U.S.C. § 6101 *et seq.*), which prohibits discrimination on the basis of age in Federally-assisted programs;

**DRUG-FREE
WORKPLACE
ACT OF
1988**

- A. The undersigned, on behalf of the applicant, certifies that the applicant will or will continue to provide a drug-free workplace by:
- (a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the action that will be taken against employees for violation of such prohibition;
 - (b) establishing an ongoing drug-free awareness program to inform employees about:
 - 1. the dangers of drug abuse in the workplace;
 - 2. the grantee's policy of maintaining a drug-free workplace;
 - 3. any available drug counseling, rehabilitation, and employee assistance programs; and
 - 4. the penalties that may be imposed on employees for drug abuse violations occurring in the workplace;
 - (c) making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
 - (d) notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will
 - 1. abide by the terms of the statement; and
 - 2. notify the employer in writing of his or her conviction for a violation of criminal drug statute occurring in the workplace not later than five calendar days after such conviction;
 - (e) notifying the agency in writing within ten (10) calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer on whose grant activity the convicted employee was working, unless the federal agency has designated a

central point for the receipt of such notices. Notices shall include the identification number(s) of each affected grant;

- (f) taking one of the following actions within thirty (30) days of receiving notice under subparagraph (d)(2) with respect to any employee who is so convicted:
 - 1. taking appropriate personnel action against such an employee, up to and including termination consistent with the requirements of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 *et seq.*); or
 - 2. requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law or other appropriate agency;
 - (g) making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).
- B. The applicant shall either identify the site(s) for the performance of work done in connection with the project in the application material or shall keep this information on file in its office so that it is available for federal inspection. The street address, city, county, state, and zip code should be provided whenever possible.

**LOBBYING
ACTIVITIES
(APPLIES
TO
APPLICANTS
REQUESTING
FUNDS IN
EXCESS OF
\$100,000)**

The undersigned certifies, to the best of his or her knowledge and belief, that:

- (a) No federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of a Federal contract, the making of a Federal grant, the making of a Federal loan, the entering into of a cooperative agreement, or the extension, continuation, renewal, amendment, or modification of a Federal contract, grant, loan, or cooperative agreement.
- (b) If any funds other than appropriated federal funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant) for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan or cooperative agreement, the undersigned shall request, complete, and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
- (c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

**GENERAL
CERTIFICATION**

The undersigned, on behalf of the applicant, certifies that the applicant will comply with all applicable requirements of all other Federal laws, executive orders, regulations, and policies governing the program.

II. CERTIFICATIONS REQUIRED OF SOME APPLICANTS

The following certifications are required if applicable to the project for which an application is being submitted. Applicants should be aware that additional federal certifications, not listed below, might apply to a particular project.

**HISTORIC
PROPERTIES**

The undersigned, on behalf of the applicant, certifies that the applicant will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. § 470f), Executive Order (E.O.) 11593, and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. § 469 *et seq.*).

For further information on the certifications, contact IMLS at 1100 Pennsylvania Avenue, N.W., Washington, D.C. 20506

**CERTIFICATION
OF
AUTHORIZING
OFFICIAL**

(The applicant organization's authorizing official should sign the following certification after all other parts of the application form have been completed)

I have examined this application and I hereby certify on behalf of the applicant organization that:

- 1) the information provided is true and correct; *and*
- 2) all requirements for a complete 2004 IMLS Native Hawaiian Library Services Program application have been fulfilled; *and*
- 3) the applicant is providing and will comply with the applicable certifications regarding federal debt status, debarment and suspension, non-discrimination, drug-free workplace, and lobbying activities, as set forth in the Assurances Statement above.

Should my organization receive a grant, the organization and I will comply with all grant terms and conditions, all requirements of the IMLS Grants Regulations (45 CFR 1110, 1183, 1185, and 1186), all statutes outlined above, and all other applicable Federal statutes and regulations.

Signature of Authorizing Official

Date

Name and Title of Authorizing Official (Type or Print)

Application Checklist

Use the following checklist to make sure you have included all required materials.

- ☐ Face Sheet
- ☐ Abstract
- ☐ Narrative
- ☐ Schedule of Completion
- ☐ Project Budget
 - Budget narrative
 - Detailed budget forms
 - Summary budget form
 - Current Federally negotiated rate agreement for indirect costs, if applicable
- ☐ Specifications for Projects Involving Digitization, if applicable
- ☐ Proof of Not-for-Profit Status
- ☐ Proof of Eligibility
- ☐ Assurances/Certification of Authorizing Official
- ☐ Attachments
 - Resumes of key personnel
 - Three-year plan
 - Other (as appropriate) _____
- ☐ Original, plus six copies of the complete application form
- ☐ Two additional copies of the face sheet
- ☐ 3.5 inch disk copy of the face sheet and the abstract



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and LIBRARY
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Washington, DC 20506

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